



Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 09857-027001	Application No. 09/401,872
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Richard G. Ketchum et al.		
		Filing Date September 23, 1999	Group Art Unit	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
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Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes No
	AL						
	AM						
	AN						
	AO						
	AP						

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
N.J.	AQ	Securities and Exchange Commission, Proposed Rule Change, NASD, Inc., 2/5/99, 61 pps.
	AR	
	AS	
	AT	

Examiner Signature <i>N. Subramania</i>	Date Considered <i>June 14, 02</i>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	If Appropriate
N.J.	AA	5,297,032	3-22-94	Trojan et al.	364	408	
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Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
N.J.	AL	WO 91/14231	19.09.91	PCT			
N.J.	AM	WO 98/13778	2.4.98	PCT			
	AN						
	AO						
	AP						

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
N.J.	AQ	"Nasdaq Workstation II", Nasdaq Stock Market, Inc., May 1999, pps. 1-17, XP002171886 (www.nasdaqtrader.com/trader/tradingservices/productservices/userguides/userguides.stm).
N.J.	AR	"Self Regulatory Organizations: Notice of Filing of Proposed Rule Change by the National Association of Securities Dealers, Inc.", Federal Register - Securities and Exchange Commission, Vol. 64, No. 47, March 11, 1999, pps. 12198-202, XP002171885 (198.17.75.65/fri1/).
N.J.	AS	Reich, Benny and Ben-Shaul, Israel: "A Componentized Architecture for Dynamic Electronic Markets", Sigmod Record, Vol. 27, No. 4, December 1998, pps. 40-47, XP002171887 (www.acm.org).

Examiner Signature <i>N. Subramaniam</i>	Date Considered <i>6/14/02</i>
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Examiner Initial	Desig. ID	Document
N.J.	AT	"Self Regulatory Organizations: Notice of Filing of Proposed Rule Change by the National Association of Securities Dealers, Inc." Federal Register – Securities and Exchange Commission, Vol. 64, No. 77, April 22, 1999, pps. 19844-49, XP002171896 (198.17.75.65/fil/).

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